



SECTOR

Attorney Docket No.: 042390.P6958

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:

ANNE E. MILLER, ET AL.

Application No.: 09/461,158

Filed: December 14, 1999

For: **HIGH pH SLURRY FOR CHEMICAL MECHANICAL
POLISHING OF COPPER**

Group Art Unit: 1762

Assistant Commissioner for Patents

Attention: **Box Missing Parts**

Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Sir:

In response to the Notice to File Missing Parts of Application mailed January 20, 2000, please find enclosed:

- (1) a duly executed Declaration and Power of Attorney with respect to the above-referenced patent application;
- (2) a check in the amount of \$130.00 in payment of the surcharge of 37 CFR § 1.16(e);
- (3) a copy of the Notice to File Missing Parts of Application

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplication of the Fee Transmittal is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Gregory D. Caldwell, Reg. No. 39,926

Dated: March 1, 2000

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
Telephone: (503) 684-6200

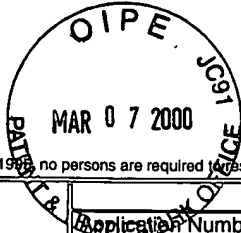
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Attention: Box Missing Parts, Washington, D.C. 20231 on: March 1, 2000.

Mary E. Warinner

03/01/00

Date

Please type a plus sign (+) inside this box ➡ +



PTO/SB/17 (6/99)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

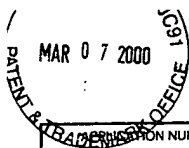
FEE TRANSMITTAL for FY 1999 <small>Patent fees are subject to annual revision. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R §§ 1.27 and 1.28.</small>		Complete if Known	
TOTAL AMOUNT OF PAYMENT		Application Number	09/461,158
(\$) 130.00		Filing Date	December 14, 1999
		First Named Inventor	Anne E. Miller
		Examiner Name	Not Yet Assigned
		Group/Art Unit	1762
		Attorney Docket Number	042390.P6958

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																																																																																									
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to credit any over payments to: Deposit Account Number: 02-2666 Deposit Account Name: Blakely, Sokoloff, Taylor & Zafman LLP <input checked="" type="checkbox"/> Charge Any Additional Fees Required Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.				3. ADDITIONAL FEE																																																																																																																																																																																									
2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other																																																																																																																																																																																													
FEE CALCULATION																																																																																																																																																																																													
1. BASIC FILING FEE																																																																																																																																																																																													
<table border="1"><thead><tr><th>Large Entity Code</th><th>Large Entity Fee (\$)</th><th>Small Entity Code</th><th>Small Entity Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>101</td><td>690</td><td>201</td><td>345</td><td>Utility filing fee</td><td></td></tr><tr><td>106</td><td>310</td><td>206</td><td>155</td><td>Design filing fee</td><td></td></tr><tr><td>107</td><td>480</td><td>207</td><td>240</td><td>Plant filing fee</td><td></td></tr><tr><td>108</td><td>690</td><td>208</td><td>345</td><td>Reissue filing fee</td><td></td></tr><tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr><tr><td colspan="5">SUBTOTAL (1)</td><td>(\$)</td></tr></tbody></table>				Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid	101	690	201	345	Utility filing fee		106	310	206	155	Design filing fee		107	480	207	240	Plant filing fee		108	690	208	345	Reissue filing fee		114	150	214	75	Provisional filing fee		SUBTOTAL (1)					(\$)																																																																																																																																																
Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																								
101	690	201	345	Utility filing fee																																																																																																																																																																																									
106	310	206	155	Design filing fee																																																																																																																																																																																									
107	480	207	240	Plant filing fee																																																																																																																																																																																									
108	690	208	345	Reissue filing fee																																																																																																																																																																																									
114	150	214	75	Provisional filing fee																																																																																																																																																																																									
SUBTOTAL (1)					(\$)																																																																																																																																																																																								
2. EXTRA CLAIM FEES																																																																																																																																																																																													
<table border="1"><thead><tr><th>Large Entity Code</th><th>Large Entity Fee (\$)</th><th>Small Entity Code</th><th>Small Entity Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td><td></td></tr><tr><td>102</td><td>78</td><td>202</td><td>39</td><td>Independent claims in excess of 3</td><td></td></tr><tr><td>104</td><td>260</td><td>204</td><td>130</td><td>Multiple Dependent claim, if not paid</td><td></td></tr><tr><td>109</td><td>78</td><td>209</td><td>39</td><td>**Reissue independent claims over original patent</td><td></td></tr><tr><td>110</td><td>18</td><td>210</td><td>9</td><td>**Reissue claims in excess of 20 and over original patent</td><td></td></tr><tr><td colspan="5">SUBTOTAL (2)</td><td>(\$)</td></tr></tbody></table>				Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20		102	78	202	39	Independent claims in excess of 3		104	260	204	130	Multiple Dependent claim, if not paid		109	78	209	39	**Reissue independent claims over original patent		110	18	210	9	**Reissue claims in excess of 20 and over original patent		SUBTOTAL (2)					(\$)																																																																																																																																																
Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																								
103	18	203	9	Claims in excess of 20																																																																																																																																																																																									
102	78	202	39	Independent claims in excess of 3																																																																																																																																																																																									
104	260	204	130	Multiple Dependent claim, if not paid																																																																																																																																																																																									
109	78	209	39	**Reissue independent claims over original patent																																																																																																																																																																																									
110	18	210	9	**Reissue claims in excess of 20 and over original patent																																																																																																																																																																																									
SUBTOTAL (2)					(\$)																																																																																																																																																																																								
3. ADDITIONAL FEE																																																																																																																																																																																													
<table border="1"><thead><tr><th>Large Entity Code</th><th>Large Entity Fee (\$)</th><th>Small Entity Code</th><th>Small Entity Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td>130.00</td></tr><tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr><tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr><tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr><tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>*Requesting publication of SIR prior to Examiner action</td><td></td></tr><tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>*Requesting publication of SIR after Examiner action</td><td></td></tr><tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for response within first month</td><td></td></tr><tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for response within second month</td><td></td></tr><tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for response within third month</td><td></td></tr><tr><td>118</td><td>1,210</td><td>218</td><td>680</td><td>Extension for response within fourth month</td><td></td></tr><tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for response within fifth month</td><td></td></tr><tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr><tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr><tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr><tr><td>138</td><td>1,510</td><td>138</td><td>1510</td><td>Petition to institute a public use proceeding</td><td></td></tr><tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr><tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive - unintentional</td><td></td></tr><tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td><td></td></tr><tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td><td></td></tr><tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td><td></td></tr><tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr><tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr><tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr><tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>146</td><td>790</td><td>246</td><td>395</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr><tr><td>149</td><td>790</td><td>249</td><td>395</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr><tr><td colspan="5">Other fee (specify) _____</td><td></td></tr><tr><td colspan="5">Other fee (specify) _____</td><td></td></tr><tr><td colspan="5">* Reduced by Basic Filing Fee Paid</td><td></td></tr><tr><td colspan="5">SUBTOTAL (3)</td><td>(\$) 130.00</td></tr></tbody></table>				Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	130.00	127	50	227	25	Surcharge - late provisional filing fee or cover sheet.		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	*Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	*Requesting publication of SIR after Examiner action		115	110	215	55	Extension for response within first month		116	380	216	190	Extension for response within second month		117	870	217	435	Extension for response within third month		118	1,210	218	680	Extension for response within fourth month		128	1,850	228	925	Extension for response within fifth month		119	300	219	150	Notice of Appeal		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		138	1,510	138	1510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,210	241	605	Petition to revive - unintentional		142	1,210	242	605	Utility issue fee (or reissue)		143	430	243	215	Design issue fee		144	580	244	290	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))		149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify) _____						Other fee (specify) _____						* Reduced by Basic Filing Fee Paid						SUBTOTAL (3)					(\$) 130.00
Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																								
105	130	205	65	Surcharge - late filing fee or oath	130.00																																																																																																																																																																																								
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.																																																																																																																																																																																									
139	130	139	130	Non-English specification																																																																																																																																																																																									
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																																									
112	920*	112	920*	*Requesting publication of SIR prior to Examiner action																																																																																																																																																																																									
113	1,840*	113	1,840*	*Requesting publication of SIR after Examiner action																																																																																																																																																																																									
115	110	215	55	Extension for response within first month																																																																																																																																																																																									
116	380	216	190	Extension for response within second month																																																																																																																																																																																									
117	870	217	435	Extension for response within third month																																																																																																																																																																																									
118	1,210	218	680	Extension for response within fourth month																																																																																																																																																																																									
128	1,850	228	925	Extension for response within fifth month																																																																																																																																																																																									
119	300	219	150	Notice of Appeal																																																																																																																																																																																									
120	300	220	150	Filing a brief in support of an appeal																																																																																																																																																																																									
121	260	221	130	Request for oral hearing																																																																																																																																																																																									
138	1,510	138	1510	Petition to institute a public use proceeding																																																																																																																																																																																									
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																									
141	1,210	241	605	Petition to revive - unintentional																																																																																																																																																																																									
142	1,210	242	605	Utility issue fee (or reissue)																																																																																																																																																																																									
143	430	243	215	Design issue fee																																																																																																																																																																																									
144	580	244	290	Plant issue fee																																																																																																																																																																																									
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																									
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																									
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																																									
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																									
146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																									
149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																																									
Other fee (specify) _____																																																																																																																																																																																													
Other fee (specify) _____																																																																																																																																																																																													
* Reduced by Basic Filing Fee Paid																																																																																																																																																																																													
SUBTOTAL (3)					(\$) 130.00																																																																																																																																																																																								

SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name		Gregory D. Caldwell		Reg. Number	39,926
Signature				Deposit Account User ID	02-2666
Date		03/01/00			

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

Trans xpress mail n . EL034432535US



Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

EM

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
--------------------	---------------------	-----------------------	---------------------------

09/461,158 12/14/99 MILLER A 042390.P6358

0242/0120
BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP
12400 WILSHIRE BOULEVARD
7TH FLOOR
LOS ANGELES CA 90025

#3

NOT ASSIGNED

1762

DATE MAILED:

01/20/00

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 or a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

all required items on this form are filed within the period set above, the total amount owed by applicant as a small entity (statement filed) ☐ non-small entity is \$ 130.

1. The statutory basic filing fee is:

- ☐ missing.
☐ insufficient.

Applicant must submit \$_____ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

2. The following additional claims fees are due:

\$_____ for _____ total claims over 20.

\$_____ for _____ independent claims over 3.

\$_____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

3. The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

5. The signature of the following joint inventor(s) is missing from the oath or declaration:

1/26/2000

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

7. Your filing receipt was mailed in error because your check was returned without payment.

8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center
Patent Examination Division (703) 308-1202

U.S. PTO 1533 (REV. 9/98)

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/09/2000 CVERBCH 09461158 130.00 CP
01 00-5875